

# MONTH END ACTIVITY REPORT

## Bureau of Securities December 2009

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	121	375	496
Oversales	1	0	1
Renewal Filings	487	1523	2010
New Notice Filings	168	85	253
Common Stock	0	0	0
Limited Partnerships	2	0	2
Preferred Stock	0	0	0
REIT	1	0	1
Debt	0	0	0
Qualification	0	0	0
Other	1	0	1
Denials	0	0	0
Sales of Unregistered Securities	1	0	1
Withdrawals	3	0	3

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	5	0	5
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	56	1	57
Gain/Loss Broker-Dealers	-61	-1	-62
Total BD's Registered as of <b>December 31, 2009</b>	1359	28	1387
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	1132	0	1132
Denied	0	0	0
Terminations	5766	1	5767
Gain/Loss Agents	-4634	-1	-4635
Total BD Agents Registered as of <b>December 31, 2009</b>	67756	52	67808

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	1	5	6
Applications Withdrawn	1	0	1
Registrations Terminated/Withdrawn	1	70	71
Denied	0	0	0
Gain/Loss effective registrations	-1	-65	-66
Total IA's Registered as of <b>December 31, 2009</b>	67	967	1034
Investment Adviser Representatives			
Activity	State	Federal	Total
New	1	27	28
Denied	0	0	0
Terminated	3	120	123
Gain/Loss effective registrations	-2	-93	-95
Total IAR's Registered as of <b>December 31, 2009</b>	173	2958	3131

Exemptions			
Exemption Type	Number		
8-1108.02(2)	32		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	7		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of <b>December 31, 2009</b>	39		